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PTO/SB/05 (03-01)

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09/892456 PTO  
06/28/01



## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. SN-US015079

First Inventor Tatsuya Kawakami

Title BICYCLE SHIFT CONTROL DEVICE

Express Mail Label No. \_\_\_\_\_

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- Applicant claims small entity status.  
See 37 CFR 1.27.
- Specification [Total Pages 11]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- Drawing(s) (35 U.S.C 113) [Total Sheets 6]
- Oath or Declaration [Total Pages 1]
  - a  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
    - DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

### ACCOMPANYING APPLICATIONS PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 C.F.R. §3.73(b) Statement  Power of Attorney (when there is an assignee)
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15.  Certified Copy of Priority Document(s)  
(If foreign priority is claimed)
16.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other. \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76

Continuation  Divisional  Continuation-in-part (CIP) of prior application No: \_\_\_\_\_ / \_\_\_\_\_  
Prior application information: Examiner \_\_\_\_\_ Group / Art Unit. \_\_\_\_\_

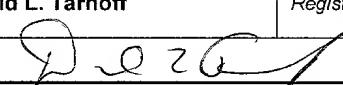
For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

### 17. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label 22919 or  Correspondence address below  
(Insert Customer No. or Attach bar code label here)

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Name (Print/Type) **David L. Tarnoff** Registration No. (Attorney/Agent) **32,383**

Signature  Date **6/28/01**

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Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

## FEE TRANSMITTAL FORM

Attorney Docket No.: **SN-US015079**

ASSISTANT COMMISSIONER OF PATENTS  
**BOX: PATENT APPLICATION**  
Washington, D.C. 20231

Transmitted herewith for filing is the patent application of

Inventor: **Tatsuya Kawakami**

For: **BICYCLE SHIFT CONTROL DEVICE**

The filing fee for filing this patent application has been calculated as follows:

FOR:	(Col. 1)		(Col. 2)		SMALL ENTITY RATE	OTHER THAN A SMALL ENTITY RATE	OR
	NO. FILED	NO. EXTRA					
<b>BASIC FEE</b>					\$355.00		
<b>TOTAL</b>	<b>13</b>	<b>- 20 =</b>	<b>0</b>		<b>x 09 =</b>	<b>\$</b>	
<b>INDEP.</b>	<b>1</b>	<b>- 3 =</b>	<b>0</b>		<b>x 40 =</b>	<b>\$</b>	
<input checked="" type="checkbox"/> <b>MULTIPLE . DEPENDENT CLAIMS</b>					<b>+ 135 =</b>	<b>\$</b>	
If the difference in Col. 1 is less than zero, enter "0" in Col 2					<b>TOTAL</b>	<b>\$</b>	

A check is enclosed in the amount of \$ **750.00** to cover  the above calculated filing fee and  the \$40.00 Assignment recording fee.

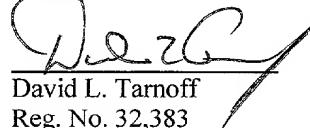
Please charge our Deposit Account No. **19-2042** in the amount of \$ \_\_\_\_\_ to cover  the above calculated filing fee and  the \$40.00 Assignment recording fee.

Other:

The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. **19-2042**. A duplicate copy of this sheet is attached.

Any additional excess claim fees under 37 CFR 1.16.  
 Any additional patent application processing fees under 37 CFR 1.17.

Dated: 6/28/01



David L. Tarnoff  
Reg. No. 32,383

SHINJYU GLOBAL IP COUNSELORS, LLP  
1233 Twentieth Street, NW, Suite 700  
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(202)-293-0444

PATENT

SN-US015079

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:  
Tatsuya Kawakami  
Serial No.: New  
Filed: Herewith  
For: BICYCLE SHIFT CONTROL  
DEVICE

Certificate Under 37 C.F.R. § 3.73(b)

Assistant Commissioner of Patents  
Washington, DC 20231

Sir:

Shimano Inc., a Japanese corporation, hereby certifies that it is the assignee of the entire right, title and interest of the above-identified application by virtue of the chain of title from the inventor of the above-identified application to the current assignee as shown by the attached assignments which are being currently recorded herewith in the U.S. Patent and Trademark Office.

Chain of Title shown by the attached documents:

From: Tatsuya Kawakami  
To: Shimano Inc.

The undersigned has reviewed the attached documents in the chain of title of the patent application identified above and, to the best of the undersigned's knowledge and belief, title is in the assignee identified above. The undersigned is empowered to act on behalf of assignee.

The undersigned declares further that all statements made herein of his own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Respectfully submitted,

By: Kozo Kitagawa  
Name: Kozo Kitagawa  
Title: Assistant Director  
Patent and Trademark Department

Dated: June 28, 2001

DLT/smm

Jun - snun/SN-US015079 Certificate